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Complex osteotomies of tibial plateau mal-unions using computer-assisted planning and patient-specific surgical guides: Preliminary report of three cases

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All authors declare that they have no conflict of interest.

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2 **SUMMARY**

3 The accurate reduction of tibial plateau malunions can be challenging without guidance. In
4 this work, we report on a novel technique that combines 3D computer-assisted planning with
5 patient-specific surgical guides for improving reliability and accuracy of complex intra-
6 articular corrective osteotomies. Preoperative planning based on 3D bone models was
7 performed to simulate fragment mobilization and reduction in three cases. Surgical
8 implementation of the preoperative plan using patient-specific cutting and reduction guides
9 were evaluated, benefits and limitations of the approach were identified and discussed. The
10 preliminary results are encouraging and show that complex intra-articular corrective
11 osteotomies can be accurately performed with this technique. For selective patients with
12 complex mal-unions around the tibia plateau this method might be an attractive option, with
13 the potential to facilitate the most accurate correction possible.

14 **Keywords**

15 Osteotomy – patient-specific – surgical guide – mal-union – tibia plateau fracture – knee

INTRODUCTION

The knee joint is one of the most critical weight-bearing regions in the lower extremity. As a consequence, fractures around the tibia plateau may significantly affect articular loading, stability and even range of motion (ROM). The primary goal in treatment is anatomical reconstruction of the articular surface and the mechanical axis, aiming to restore function of the knee joint. Fractures can be treated conservatively for minimally displaced fragments, otherwise surgical management is recommended¹⁻³. Well-established surgical techniques like open reduction and internal fixation (ORIF), external fixation, or arthroscopically assisted osteosynthesis can be chosen for this purpose^{2,4-13}. However, operative management is challenging¹⁴ and may be associated with mal-union if reduction is imprecise^{3,15-17}. Mal-union can result in posttraumatic osteoarthritis and loss of function. Ultimately, salvage procedures such as total knee arthroplasty (TKA) or rarely knee arthrodesis may be necessary in an end stage situation¹⁷.

An intra-articular corrective osteotomy, although being a complex intervention, may be a preferable treatment option for posttraumatic mal-unions^{15,18}. In this procedure, the mal-united fragment is osteotomized and reduced to its anatomically correct position according to a preoperative plan. However, exact quantification of intra-articular mal-unions is difficult with traditional imaging techniques due to the three-dimensional (3D) nature of the deformity. It is even more challenging to exactly reproduce the preoperative objective during surgery. Although computer-assisted planning and guidance techniques are commonly used to support surgeons in performing TKA and high tibia osteotomies, the surgical correction of intra-articular posttraumatic mal-unions with such methods was so far not addressed. Oka et al.¹⁹

and Schweizer et al.²⁰ demonstrated the feasibility of combining 3D computer-assisted planning with patient-specific guides for correcting complex intra-articular mal-unions of the distal radius. In their method, a 3D preoperative plan was created that relied on the mirrored contralateral extremity. Based on this plan, individualized rapid-prototyped guides were manufactured to precisely reproduce reduction in the surgery.

We have extended the surgical technique proposed by Schweizer et al.²⁰ and report on our early experiences in operative treatment of posttraumatic intra-articular mal-unions of the proximal tibia.

PREOPERATIVE PLANNING AND SURGICAL TECHNIQUE

The proposed approach relies on computer-assisted preoperative planning to quantify a malunion and the required reduction in 3D. As the contralateral tibia will be used as a 3D reconstruction template, it is required that the contralateral limb of the patient is asymptomatic without previous history of trauma or obvious malalignment. In a first step, 3D triangular surface models of the pathological and contralateral normal tibia are generated. The bone models are extracted from computed tomography (CT) scans semi-automatically using the segmentation functionality of the Mimics software (Materialise, Leuven, Belgium): Intensity thresholding and region growing is applied for identifying the cortical bone layer and for separating the tibia from surrounding bone anatomy, respectively.

Computer-assisted preoperative planning is performed on a standard personal computer using a custom-made software application CASPA (University Hospital Balgrist, Zurich,

Switzerland) . The 3D model of the contralateral tibia is mirrored and subsequently aligned to the pathological model using a surface registration algorithm. As in similar approaches ²¹, the iterative closest point method ²² (ICP) is used to superimpose the undeformed regions of the bone surfaces (i.e., the epiphyseal and meta/diaphyseal parts) in an automatic fashion by minimizing the quadratic distances between surface points.

Next, the fracture lines and articular step-off have to be assessed to create the osteotomy plane(s). Dependent on the pathology either a single or a combination of multiple osteotomy planes (i.e., curved cut) is required for mobilizing the fragment that must be reduced. After virtual mobilization, the anatomical correct position of the fragment was determined by aligning it to the reconstruction template. By doing so, the required reduction can be exactly quantified in 3D (i.e., 3 degrees-of-freedom in translation and 3 degrees-of-freedom in rotation) as the relative transformation of the fragment in its initial and reduced configuration. However, applying the so-obtained 3D measurements in the surgery to correct intra-articular malunion can be challenging ²⁰.

One possibility to facilitate this task is the use of patient-specific guides. The basic idea of such an approach is that a guide body is molded on the bone surface. The irregular bone surface around the osteotomy helps to uniquely identify the location on the bone where the guide has to be positioned. We have developed different guides for supporting cutting and reduction.

Dependent on the complexity of the osteotomy, two different types of cutting guides are applied. If only one planar cut is required, parallel K-wires (2 mm diameter) are used to intraoperatively define the osteotomy plane. Preoperatively, virtual K-wires, represented by cylinders, are aligned on the osteotomy plane in the planning application (Figure 1 a). Based

on the cylinders, a guide (*cutting guide type I*) with drill sleeves is designed in order to exactly set the K-wires on their planned position in the surgery (Figure 1 b). The osteotomy is subsequently performed by guiding the saw blade along the K-wires (Figure 1 c). A different technique²⁰ is applied for performing curved cuts: As depicted in Figure 2, the basic idea of this approach is that the cut is coarsely defined by consecutively drilling holes that are spaced between 5 mm to 10 mm. The position and direction is defined by drill sleeves that are integrated in a guide (*cutting guide type II*). Afterwards, the holes are connected with a cannulated chisel to complete the osteotomy.

In a similar fashion K-wires are combined with guides to reproduce the 3D-planned reduction in the surgery. The general procedure for creating a reduction guide is illustrated in Figure 3. First, cylinders representing 2 mm K-wires are created in the planning application (Figure 3 a). The cylinders are virtually fixed to the proximal and distal fragments. The corresponding drill sleeves to set the K-wires in the surgery are typically integrated into a cutting guide (Figure 3 b). A separate reduction guide is created based on the position and orientation of the cylinders after simulated reduction (Figure 3 c). It must be noted that such a guide must consist of two pluggable parts because the K-wires are divergent after reduction. After the osteotomy, the proximal and distal parts of the guide are slid along the K-wires (Figure 3 d). Thereafter, the parts are stably connected with a clicking mechanism to push the fragment to its anatomical correct position (Figure 3 e). After temporary fragment fixation using an additional K-wire, each part of the guide is separately removed, followed by fragment fixation with an osteosynthesis plate.

Based on the guide models provided as STL files, the guides used in the presented cases were produced by Medacta International S.A. (Castel San Pietro, Switzerland) with a selective laser sintering technique based on polyamide PA-12. Sterilization was performed with conventional steam pressure at 130° C. It had been validated in laboratory experiments that no shrinkage can occur at this temperature.

PATIENTS AND RESULTS

The proposed surgical technique was applied to three cases, characterized by an increasing level of complexity. Informed consent was obtained from all patients preoperatively regarding permission to report on their medical history and postoperative results. For each patient, preoperative assessment comprised a long leg X-ray and bilateral CT scans (120 kV; axial resolution: 1 mm; Philips Brilliance 40 CT, Philips Healthcare, Best, The Netherlands) of the pathological and the contralateral (normal) tibia. In all cases a multiplanar mal-union was confirmed by the 3D analysis (see Table, Supplemental Digital Content 1). The overall preoperative planning time including guide design was between two and four hours, depending on the case.

In case 1, a 32-year-old mason had sustained a bicondylar fracture (Schatzker type V, AO/OTA Classification²³ 41-C3) of the left tibial plateau that was conservatively treated (Figure 4). The lateral tibial plateau healed in anatomical position whereas the medial part dislocated progressively (Figure 5 a), resulting in a mal-union and anteromedial pain. The patient was referred to our hospital considering corrective osteotomy nine months after trauma. Physical examination revealed unrestricted ROM, tenderness at the medial joint line,

and effusion. The knee was ligamentous stable. Surgery was performed eleven months after trauma with an anteromedial approach. The pes anserinus was only released in the proximal part. The superficial part of the medial collateral ligament was slightly detached anteriorly. An incomplete subchondral osteotomy was performed using a cutting guide (*type I*) and a surgical saw, followed by anatomical reduction which was guided as well.

In case 2, a 42-year-old painter sustained a multifragmentary fracture of the left tibia with a multi-part fracture of the eminentia intercondylaris (Schatzker type II, AO/OTA Classification ²³ 41-B3), treated by ORIF in a trauma center. However, the patient was never pain free and was referred to our clinic six years later. Clinically, the medial compartment was still unremarkable with a negative varus stress test while the patient experienced pain with a substantial subluxation in the posterolateral defect of the tibia plateau during flexion. Effusion did occur but the knee was ligamentous stable and had unrestricted ROM. The 3D comparison with the contralateral tibia revealed a depression in the dorsal half of the lateral tibia plateau (see Table, Supplemental Digital Content 1; Figure 5 a). Four months after consultation, surgery was performed extending the former lateral approach. The posterior part of the tractus iliotibialis was released to expose the tuberculum Gerdy which was used as a landmark for the guides. For better visualization of the posterior part of the joint, an osteotomy of the lateral femoral condyle was performed. Next, a cutting guide (*type I*) was applied and a first cut was performed from anterior with a surgical saw. Thereafter, the bone was accessed from the lateral side above the proximal tibiofibular joint to completely mobilize the fragment with using two additional cutting guides (*type II*) and a chisel.

In case 3, a 29-year-old engineer had a skiing accident, resulting in a split depression fracture of the left lateral tibia plateau (Schatzker type II, AO/OTA²³ Classification 41-B3). The fracture was treated with ORIF in another institution. Sixteen months after trauma, the patient had a consultation in our hospital due to persistent pain and considerable functional impairment. Evaluation showed a mal-union of the biggest lateral fragment (see Table, Supplemental Digital Content 1; Figure 5 a) with already degenerative changes of the surrounding cartilage. Due to the young age of the patient, a corrective osteotomy was our preferable surgical treatment. Surgery was performed 22 months after trauma. The bone was accessed from anterolateral and soft tissue was removed from the lateral tibial head. Two cutting guide (*type II*) were applied in combination with a cannulated chisel. One guide was used to mobilize the fragment as planned and one was required to remove an additional bone wedge. Thereafter, the two-part reduction guide permitted correction of the multi-planar deformity.

In all cases, the fit of the guides appeared to be stable and well-defined. The postoperative course was uneventful. Radiological examination showed that all osteotomies healed in between three and six months after surgery. The minimum follow up time was between 12-14 months. A quantitative evaluation of the reduction error based on postoperative CT is given in Table, Supplemental Digital Content 1. The residual error was assessed by comparing the preoperative planning result with the 3D model of the postoperative tibia (Figure 5 b). In case 1 and 3 no limitation of the ROM was observed and there was no evidence of effusion. These two patients were very satisfied with the outcome and continued their former job (case 3) or pursued another job (case 1). In case 2, the osteotomy was not entirely performed as planned,

because the fragment could not be mobilized completely to achieve the planned position. However, failure to mobilize the fragment was not a failure of the system but of the execution of the procedure. Reason for the incomplete mobilization was missing guidance of the chisel in the medial part. Six months postoperatively, this patient improved in terms of posterolateral pain and subluxation but medial pain increased slightly due to the underlying varus osteoarthritis. ROM was not limited but effusion was still present. The patient was not able to continue his former job, primarily caused by pain in the (untreated) medial part of the knee.

DISCUSSION

In this report we described a novel technique for performing complex intra-articular corrective osteotomies using 3D computer-assisted planning combined with patient-specific surgical guides.

Surgical treatment of tibial plateau fractures remains challenging²⁴ and may be associated with severe complication such as mal-union or post-traumatic gonarthrosis^{3,25}. Therefore, a corrective osteotomy may be indicated in young adults to decrease risk of gonarthrosis^{3,8,26}. Several studies^{3,15,27,28} emphasized the importance of preoperative planning for exact quantification of mal-unions. Several authors proposed to use 3D-reconstructed CT to improve assessment of the deformity^{15,26,29}, although still relying on preoperative planning based on 2D radiographs. Mast et al.²⁷ was one of the first reporting on the use of the contralateral healthy tibia as a 2D reconstruction template for unilateral shaft mal-unions. More recently, 3D surface models of the contralateral bone have been used as reconstruction

189 templates for the preoperative planning of corrective shaft osteotomies of the lower
190 extremities³⁰ as well as for extra-articular³¹⁻³³ and intra-articular^{19,20} osteotomies of the
191 upper extremities. In these studies, patient-specific guides were applied to accurately
192 reproduce preoperative planning during surgery. Guides or navigation systems were also used
193 in other types of interventions around the knee to support the surgeon in performing tibial
194 plateau fracture reduction³⁴, high tibia osteotomies³⁵⁻⁴² or TKA^{43,44}.

195 We presented a computer-assisted surgical technique that has been initially applied to the
196 distal radius articulation²⁰. The proposed approach permitted accurate multi-planar reduction
197 of 3D deformities. Moreover, it was even possible to perform complex, curved cuts: In cases
198 2 and 3, a multi-planar closing wedge osteotomy was performed which required
199 preoperatively calculating the exact 3D shape of the wedge to be removed. For completion of
200 such types of osteotomies, the use of a cannulated chisel is suggested to prevent technical
201 errors, which may lead to an incomplete mobilization of the fragment, as observed in case 2.
202 In this case, not even the reduction of the mobilized part was satisfactory (i.e., above 4°
203 residual error), since the repositioning relied only on manual alignment of congruent
204 osteotomy surfaces. Therefore, we have further developed the design of the intra-articular
205 guides combining the cutting guides with reduction guides, as demonstrated for cases 1 and 3.
206 In these patients, the accuracy of the reduction was within 1 mm and 1.8°. These results are
207 promising compared to other studies, which either were more inaccurate²⁰ or had similar
208 accuracy under laboratory conditions⁴⁵.

209 The study and its proposed surgical technique had several limitations. First, the method was
210 only applied to a small number of patients. Clinical scores were not evaluated, since a focus

was laid on first describing the surgical technique and measuring its accuracy. As the type of procedure may always remain very selective, being only feasible for a few qualifying patients, it was important for us to report first experiences to the community. This may help assessing advantages and drawbacks of this technology and to decide whether it would be worthwhile to pursue further development. Moreover, an additional CT is required if the contralateral side should be used as a reconstruction template, resulting in increased radiation exposure. On the contrary, the technique may reduce total fluoroscopy time during surgery. Lastly, additional expenses of approximately €250 (USD 340) per case arise due to guide manufacturing.

In conclusion, the presented technique enabled us to perform complex intra-articular osteotomies in a controlled fashion, restoring congruity of the knee joint. For selective patients with mal-unions around the tibia plateau this method might be an attractive option, with the potential to facilitate the most accurate correction possible. High accuracy was demonstrated in two of three cases. However, benefits must be confirmed in a prospective clinical study with a larger number of cases and outcome evaluation.

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FIGURE CAPTIONS

Figure 1 Guided single-plane osteotomy. (a) Virtual K-wires are aligned to the osteotomy plane in the 3D planning application. (b) Intraoperatively, the K-wires are set according to the planning using a patient-specific guide. (c) The osteotomy is subsequently performed by guiding the saw blade along the K-wires.

Figure 2 Guided complex-plane osteotomy. (a) Virtual K-wires are aligned to the osteotomy planes in the 3D planning application. (b) The cut is coarsely defined by consecutively drilling holes using a patient-specific guide. Afterwards, the osteotomy is completed with a chisel.

Figure 3 Patient-specific reduction guide. (a) Virtual K-wires are created and fixed to the fragments. (b) The corresponding drill sleeves are integrated into a cutting guide. (c) Reduction is simulated, resulting in divergent K-wires. (d) Reduction guide consisting of two pluggable parts. (e) Reduction is completed by connecting the parts of the guide.

Figure 4 Computed tomography images of the presented cases are given before and after surgery.

Figure 5 3D computer-assisted planning and postoperative accuracy evaluation. (a) Before surgery: The pathological tibia is shown in brown and the fragment to be mobilized is outlined in red. (b) After surgery: Postoperative tibia (light blue) compared to planned reduction (green).

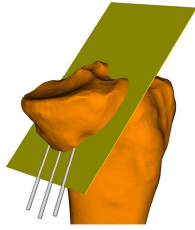
347 **SUPPLEMENTAL DIGITAL CONTENT**

348 **Table, Supplemental Digital Content 1:** Evaluation of accuracy. Pre- and postoperative
349 difference to the 3D surgical plan with respect to translation and rotation. *Fragment only
350 partially reduced. X, y, and z denote the axes of the coordinate system in anterior, transversal,
351 and longitudinal direction, respectively. Rotation on x defines coronal angular deformity,
352 rotation on y defines sagittal angular deformity, and rotation on z defines torsional deformity.
353 Translation on x defines coronal translation, translation on y defines sagittal translation, and
354 translation on z defines the extent of intra-articular displacement.

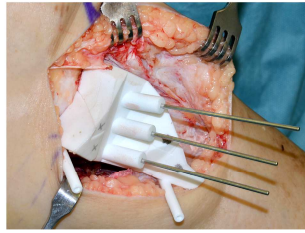
Table 1: Evaluation of accuracy.

Patient	Preoperative deformity (x,y,z)		Postoperative residual error (x,y,z)	
	Translation (mm)	Rotation (°)	Translation (mm)	Rotation (°)
1	(0.2, 4.9, 6.5)	(7.8, 2.6, 2.5)	(1.0, 0.9, 1.0)	(1.5, 0.4, 0.8)
*2	(0, 1.2, 1.3)	(2.4, 14.9, 1.8)	(0.2, 0.6, 0.2)	(3.5, 4.1, 0.3)
3	(0.2, 2.2, 3.6)	(10.0, 7.0, 12.8,)	(0.7, 1.2, 1.1)	(0.5, 1.8, 1.2)

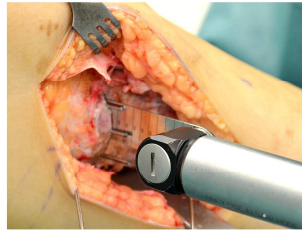
Pre- and postoperative difference to the 3D surgical plan with respect to translation and rotation. *Fragment only partially reduced. X, y, and z denote the axes of the coordinate system in anterior, transversal, and longitudinal direction, respectively. Rotation on x defines coronal angular deformity, rotation on y defines sagittal angular deformity, and rotation on z defines torsional deformity. Translation on x defines coronal translation, translation on y defines sagittal translation, and translation on z defines the extent of intra-articular displacement.



a

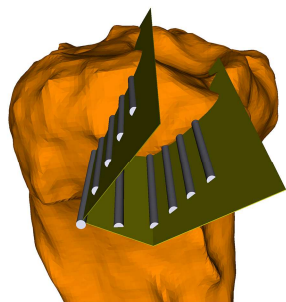


b

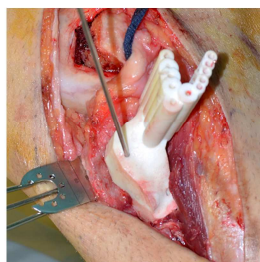


c

ACCEPTED



a



b

ACCEPTED

